

07/26/01

J1051 U.S. PTO

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PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Officer: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. PT001P2

First Inventor Ni et al.

Title Human Serpin Polynucleotides, Polypeptides, and Antibodies

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 295]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix+  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
5. ☐ Unexecuted Oath or Declaration [Total Pages 2 ]  
a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in  
the prior application, see 37 CFR 1.163(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☒ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☒ paper (13 pgs.)  
c. Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet and document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/ Form PTO/SB/08  
☐ Copies of Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)
15. ☐ Certified copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Continuation-in-Part (CIP) of prior application No: PCT/US00/05082 and PCT/US01/02484  
Prior application information: Examiner Group/Art Unit:

For CONTINUATION or DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Kenley K. Høover

Registration No. (Attorney/Agent)

40,302

SIGNATURE

Date July 26, 2001

\*Statement: this form is estimated to take 0.5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Ni et al.

Application Serial No.: Not assigned

Art Unit: Not assigned

Filed: Concurrently herewith

Examiner: Not assigned

For: Human Serpin Polynucleotides, Polypeptides,  
and Antibodies

Attorney Docket No.: PT001P2

**STATEMENT UNDER 37 C.F.R. 1.821(f)**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants hereby certify that the hard copy of the sequence listing being filed concurrently herewith and the enclosed computer-readable form of such sequence listing are identical.

Respectfully submitted,

Date: July 26, 2001

  
Kenley K. Hoover  
Attorney for Applicants

Reg. No. 40,302

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, Maryland 20850  
Telephone: (301) 610-5771

KKH/RL/ur

# FEE TRANSMITTAL for FY 2001

Complete if known

Patent fees are subject to annual revision.

Application Number Unassigned  
 Filing Date July 26, 2001  
 First Named Inventor Ni et al.  
 Examiner Name  
 Group Art Unit  
 Attorney Docket Number PT001P2

Total amount of payment (\$746.00)

## METHOD OF PAYMENT (CHECK ONE)

1. The Commissioner is hereby authorized to check indicated fees and credit any overpayment to:  
 Deposit Account Number 08-3425  
 Deposit Account Human Genome Sciences, Inc.  
 Name

☒ Charge Any Additional Fee Required  
 Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status  
 See 37 CFR 1.27

2. Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☒ Other  
 Change any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 08-3425

## FEE CALCULATION

1. BASIC FILING FEE					
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	201	355		Utility filing fee	\$710.00
102	206	160		Design filing fee	
103	490	207	245	Plant filing fee	
104	710	208	355	Reissue filing fee	
105	150	214	75	Provisional filing fee	
Subtotal (1)					\$710.00

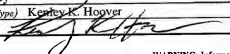
## 2. EXTRA CLAIM FEES

				Extra	Fee from below	Fee Paid
Total claims	22		- 20**	2		\$36.00
Indep. claims	2		- 3**	0		\$ 0.00
Multiple Dependent						\$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

Subtotal (2) (\$746.00)

## Submitted By

Name (Print/Type) Kerley K. Hoover  
 Signature: 

Registration No.: 40,302

Complete (if applicable)  
 Telephone 301-309-8504  
 Date July 26, 2001

## FEE CALCULATION (CONTINUED)

3. ADDITIONAL FEES		Fee Paid
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	
105	130	205 65
127	50	227 25
139	130	139 130
147	2,520	147 2,520
112	920	112 920
113	1,840	113 1,840
115	110	215 55
116	390	216 195
117	890	217 445
118	1,390	218 695
128	1,890	228 945
119	310	219 155
120	310	220 155
121	270	221 135
138	1,510	138 1,510
140	110	240 55
141	1,240	241 620
142	1,240	242 620
143	440	243 220
144	600	244 300
122	130	122 130
123	50	123 50
126	240	126 240
581	40	481 40
146	710	246 355
149	710	249 355
179	710	279 355
169	190	169 900
Subtotal (3)		\$

Other fee (specify):  
 Other fee (specify):

\*Reduced by Basic Filing Fee Paid

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